

**PATENT APPLICATION**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of

Docket No: Q96256

Yoshihide KAWAGUCHI, et al.

Appln. No.: Based on PCT/JP06/300085

Confirmation No.: Unknown

Group Art Unit: Unknown

Filed: July 28, 2006

Examiner: Unknown

For: OPTICAL REFRACTIVE INDEX-MODIFYING POLYMER COMPOSITION,  
HOLOGRAM RECORDING MATERIAL AND METHOD OF CONTROLLING  
REFRACTIVE INDEX

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 C.F.R. §§ 1.97 and 1.98**

**MAIL STOP AMENDMENT**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure under 37 C.F.R. § 1.56, Applicant hereby notifies the U.S. Patent and Trademark Office of the documents which are listed on the attached PTO/SB/08 A & B (modified) form and/or listed herein and which the Examiner may deem material to patentability of the claims of the above-identified application.

| <u>Serial No.</u> | <u>Applicant's Name</u>     | <u>Filing Date</u> |
|-------------------|-----------------------------|--------------------|
| 10/574,478        | Yoshihide KAWAGUCHI, et al. | April 3, 2006      |

One copy of each of the listed documents is submitted herewith, except for the following: U.S. patents and/or U.S. patent publications; and co-pending non-provisional U.S. applications filed after June 30, 2003.

The present Information Disclosure Statement is being filed: (1) No later than three months from the application's filing date; (2) Before the mailing date of the first Office Action on the merits (whichever is later); or (3) Before the mailing date of the first Office Action after

INFORMATION DISCLOSURE STATEMENT  
U.S. Appl. No.: Based on PCT/JP06/300085  
Attorney Docket No.: Q96256

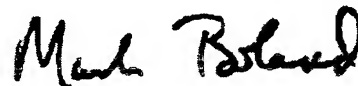
filing a request for continued examination (RCE) under §1.114, and therefore, no Statement under 37 C.F.R. § 1.97(e) or fee under 37 C.F.R. § 1.17(p) is required.

In compliance with the concise explanation requirement under 37 C.F.R. § 1.98(a)(3) for foreign language documents, Applicant states as follows: English language abstracts constitute concise statements of relevance for the foreign language documents listed on the accompanying form, which have the designation "abstract" in the right column. Also, enclosed herewith as listed on the accompanying form is a copy of a Communication from a foreign patent office in a counterpart application citing such documents (International Search Report for PCT/JP06/300085 dated March 20, 2006), together with an English-language version (if not already included) of at least that portion of the Communication indicating the degree of relevance found by the foreign patent office, for the six Japanese language documents listed therein. Moreover, Japanese Patent Application Publication Numbers 60-88005, 5-107999 and 5-94014 are cited and discussed on page 4 of the specification in the present application.

The submission of the listed documents is not intended as an admission that any such document constitutes prior art against the claims of the present application. Applicant does not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

The USPTO is directed and authorized to charge all required fees, except for the Issue Fee and the Publication Fee, to Deposit Account No. 19-4880. Please also credit any overpayments to said Deposit Account.

Respectfully submitted,



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WASHINGTON OFFICE

**23373**

CUSTOMER NUMBER

Date: July 28, 2006

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| Substitute for Form 1449 A & B/PTO<br><br><b>INFORMATION DISCLOSURE<br/>STATEMENT BY APPLICANT</b><br><br><i>(use as many sheets as necessary)</i> |   |    |   | <i>Complete if Known</i> |                          |
|  |   |    |   | Application Number       | Based on PCT/JP06/300085 |
|  |   |    |   | Confirmation Number      | Unknown                  |
|  |   |    |   | Filing Date              | July 28, 2006            |
|  |   |    |   | First Named Inventor     | Yoshihide KAWAGUCHI      |
|  |   |    |   | Art Unit                 | Unknown                  |
|  |   |    |   | Examiner Name            | Unknown                  |
| Sheet  | 1 | of | 1 | Attorney Docket Number   | Q96256                   |

### U.S. PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Document Number |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document |
|--------------------|-----------------------|-----------------|--------------------------------------|--------------------------------|---|
|                    |                       | Number          | Kind Code <sup>2</sup><br>(if known) |                                |   |
|                    |                       | US 3,993,485    |                                      | 11-23-1976                     | Edwin Arthur Chandross, et al.                  |
|                    |                       | US 5,098,803    | A                                    | 03-24-1992                     | Bruce M. Monroe, et al.                         |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |
|                    |                       | US              |                                      |                                |   |

### FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Foreign Patent Document   |                     |                                      | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Translation <sup>6</sup> |
|--------------------|-----------------------|---------------------------|---------------------|--------------------------------------|--------------------------------|---|--------------------------|
|                    |                       | Country Code <sup>3</sup> | Number <sup>4</sup> | Kind Code <sup>5</sup><br>(if known) |                                |   |                          |
|                    |                       | JP                        | 2005-275158         | A                                    | 10-06-2005                     |   | Abstract                 |
|                    |                       | JP                        | 2005-126688         | A                                    | 05-19-2005                     |   | Abstract                 |
|                    |                       | JP                        | 2003-147017         | A                                    | 05-21-2003                     |   | Abstract                 |
|                    |                       | JP                        | 7-70399             | A                                    | 03-14-1995                     |   | Abstract                 |
|                    |                       | JP                        | 9-230594            | A                                    | 09-05-1997                     |   | Abstract                 |
|                    |                       | JP                        | 9-106240            | A                                    | 04-22-1997                     |   | Abstract                 |
|                    |                       | JP                        | 60-88005            | A                                    | 05-17-1985                     |   |                          |
|                    |                       | JP                        | 5-107999            | A                                    | 04-30-1993                     |   |                          |
|                    |                       | JP                        | 5-94014             | A                                    | 04-16-1993                     |   |                          |
|                    |                       | WO                        | 2005/033153         | A1                                   | 04-14-2005                     | NITTO DENKO CORPORATION                         | Abstract                 |
|                    |                       | JP                        | 5-197324            | A                                    | 08-06-1993                     | TOYO INK MFG CO LTD<br>TOPPAN PRINTING CO LTD   | Abstract                 |

### NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city, and/or country where published. | Translation <sup>6</sup> |
|--------------------|-----------------------|--|--------------------------|
|                    |                       | International Search Report for PCT/JP06/300085 dated March 20, 2006   |                          |
|                    |                       |  |                          |
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|--------------------|--|-----------------|--|
| Examiner Signature |  | Date Considered |  |
|--------------------|--|-----------------|--|

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kind Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov), MPEP 901.04 or follow the hyperlink from the title of the document to the intranet. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST. 3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup>Applicant is to indicate here if English language Translation is attached.